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**Art Unit: 2814**

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**From : Winston Hsu, Registration No. 41,526**

**Serial No.: 10/791,709**

**Attorney Docket No.: UECP0012USA**

**Subject: Information Disclosure Statement (IDS)**

**Total Pages: 46 pages (including cover page)**

**Winston Hsu 2005/11/03**

**UECP0012USA0\_D1\_2**

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PTO/SB/21 (09-04)

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**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Application Number	10/791,709			
Filing Date	03/04/2004			
First Named Inventor	Jen-Chau Wu			
Art Unit	2814			
Examiner Name	PHAM, LONG			
Total Number of Pages in This Submission	45	Attorney Docket Number	UECP0012USA	

**ENCLOSURES (Check all that apply)**

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address	<input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Remarks	
<input type="checkbox"/> Express Abandonment Request		
<input checked="" type="checkbox"/> Information Disclosure Statement		
<input type="checkbox"/> Certified Copy of Priority Document(s)		
<input type="checkbox"/> Reply to Missing Parts/ Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53		

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm Name	North America Intellectual Property Corporation		
Signature	<i>Winston Hsu</i>		
Printed name	Winston Hsu		
Date	11/03/2005	Reg. No.	41,526

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

Signature	<i>Cindy Lin</i>		
Typed or printed name	Cindy Lin	Date	11/03/2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/17 (12-04)

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Effective on 12/08/2004.

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

**FEE TRANSMITTAL  
For FY 2005**

Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$ 0.00)

**Complete If Known**

Application Number	10/791,709
Filing Date	03/04/2004
First Named Inventor	Jen-Chau Wu
Examiner Name	PHAM, LONG
Art Unit	2814
Attorney Docket No.	UECP0012USA

**METHOD OF PAYMENT** (check all that apply)

Check  Credit Card  Money Order  None  Other (please identify): \_\_\_\_\_

Deposit Account Deposit Account Number: 50-3105 Deposit Account Name: North America Intellectual Property Corp.

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

Charge fee(s) indicated below  Charge fee(s) indicated below, except for the filing fee  
 Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17  Credit any overpayments

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**FEE CALCULATION**

**1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

<u>Application Type</u>	<u>FILING FEES</u>		<u>SEARCH FEES</u>		<u>EXAMINATION FEES</u>		<u>Fees Paid (\$)</u>
	<u>Fee (\$)</u>	<u>Small Entity</u>	<u>Fee (\$)</u>	<u>Small Entity</u>	<u>Fee (\$)</u>	<u>Small Entity</u>	
Utility	300	150	500	250	200	100	_____
Design	200	100	100	50	130	65	_____
Plant	200	100	300	150	160	80	_____
Reissue	300	150	500	250	600	300	_____
Provisional	200	100	0	0	0	0	_____

**2. EXCESS CLAIM FEES**

Fee Description

Each claim over 20 or, for Reissues, each claim over 20 and more than in the original patent

<u>Fee (\$)</u>	<u>Small Entity</u>
50	25

Each independent claim over 3 or, for Reissues, each independent claim more than in the original patent

200	100
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Multiple dependent claims

360	180
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Total Claims

- 20 or HP =	<u>Extra Claims</u>	<u>Fee (\$)</u>	<u>Fee Paid (\$)</u>	<u>Multiple Dependent Claims</u>	
HP = highest number of total claims paid for, if greater than 20	x	=		<u>Fee (\$)</u>	<u>Fee Paid (\$)</u>

Indep. Claims

- 3 or HP =	<u>Extra Claims</u>	<u>Fee (\$)</u>	<u>Fee Paid (\$)</u>	_____	_____
HP = highest number of independent claims paid for, if greater than 3	x	=			

**3. APPLICATION SIZE FEE**

If the specification and drawings exceed 100 sheets of paper, the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

<u>Total Sheets</u>	<u>Extra Sheets</u>	<u>Number of each additional 50 or fraction thereof</u>	<u>Fee (\$)</u>	<u>Fee Paid (\$)</u>
- 100 =	/ 50 =	(round up to a whole number) x	=	

**4. OTHER FEE(S)**

Non-English Specification, \$130 fee (no small entity discount)

Other: submission of Information Disclosure Statement

<u>Fees Paid (\$)</u>
0.00

**SUBMITTED BY**

Signature	<i>Winston Hsu</i>	Registration No. (Attorney/Agent)	41,526	Telephone	302-729-1562
Name (Print/Type)	Winston Hsu			Date	11/03/2005

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/08A (08-03)

Approved for use through 07/31/2008. OMB 0651-0031

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449/PTO		<b>Complete If Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(Use as many sheets as necessary)</i>		Application Number	10/791,709
		Filing Date	03/04/2004
		First Named Inventor	Jen-Chau Wu
		Art Unit	2814
		Examiner Name	PHAM, LONG
		Attorney Docket Number	UECP0012USA
Sheet	1	of	1

**U. S. PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	FOREIGN PATENT DOCUMENTS		Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>4</sup>
		Foreign Patent Document	Publication Date MM-DD-YYYY			
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
1	JP P2001-15817A		01-19-2001		Para 0044, 0045, Figs. 1 and 2	+
2	JP P2001-93320A		04-06-2001		Para 0023, Figs. 2 and 3	+
3	JP 8-56034		02-27-1996		Para 0012-0014, Fig. 11	+

Examiner Signature		Date Considered	
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<sup>1</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>2</sup>Applicant's unique citation designation number (optional). <sup>3</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>4</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>5</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>6</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.18 if possible. <sup>7</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Wu, Jen-Chau et al.

5 Appl. No.: 10/791,709 Filing Date: 03/04/2004  
Examiner: Pham, Long Art Unit: 2814  
Docket No.: UECPO012USA Confirmation No.: 5086

Title: ESD PROTECTION CONFIGURATION AND METHOD FOR LIGHT  
10 EMITTING DIODES

To: Commissioner for Patents  
P.O. BOX 1450  
Alexandria, VA 22313-1450

15

Subject: Information disclosure statement under 37 CFR §1.56

Dear Sir,

20

This is an Information Disclosure Statement in accordance with the duty to disclose information material to patentability under 37 CFR §1.56. The applicant wishes to make of record the documents listed on the accompanying form  
25 PTO/SB/08.

Since this IDS is filed after the mailing date of the first Office action but before notice of allowance, consideration of the information disclosure statement is hereby requested  
30 according to 37 CFR §1.97(c).

That each item of information contained in the information

disclosure statement was first cited in an Office communication mailed on September 6, 2005 for the counterpart Japan patent application number 2003-318638, which are no more than three months from the filing of the information disclosure  
5 statement.

According to the requirement set forth in 37 CFR §1.98, a copy of each cited reference and its English language abstract is included to fulfill the concise explanation  
10 requirement. The title of the cited references, Japanese patent application number JP P2001-15817A, Japanese patent application number JP P2001-93320A, and Japanese Patent number JP 8-56034 and an English language abstract of each cited reference are as follows.

15

For cited reference JP P2001-15817A:

Title:

COMPOUND LIGHT-EMITTING ELEMENT, LIGHT-EMITTING DIODE AND  
20 MANUFACTURE THEREOF

Abstract:

PROBLEM TO BE SOLVED: To provide a compound light-emitting element of a constitution, wherein the layer thickness of a  
25 resin containing a fluorescent material, for making a wavelength conversion of light from the main light-extraction surface of a flip-chip light-emitting element into a wavelength conversion of white light is optimized and the pure white light is obtained, and to provide a light-emitting device and the manufacturing method of the device.

SOLUTION: A flip-chip light-emitting element 1 conductively mounted on a submount element 2 is provided, the

periphery of the element 1 is covered with a first resin 16 containing a fluorescent material for making a wavelength conversion of light from this element 1 using the element 2 as a saucer, either of the main light-extraction surface of  
5 the upper surface of a transparent substrate 1a of the element 1 and the shell surface (top panel) of the resin 16 or both of the main light-extraction surface and the shell surface (top panel) is or are provided in parallel to the rear electrode formation surface of the element 2, the film thickness of the  
10 resin 16 on the main light-extraction surface is uniformly formed, and light from the entire main light-extraction surface of the element 1 is evenly made a wavelength conversion to enable an emission having not a color shading.

15

For cited reference JP P2001-93320A:

Title:

SURFACE LIGHT SOURCE UNIT

20

Abstract:

PROBLEM TO BE SOLVED: To improve the constraint of a combination of an edge line type surface light source unit integrated with a LED as a light source and a mother substrate  
25 and provide more resistance to static electricity of the LED.

SOLUTION: An edge light type surface light source unit 10 comprises a light guide member 1 having at least one through-hole 8 or blind hole for refracting or reflecting an emitted light from a light source and reflecting parts 6  
30 provided at both sides of a portion opposed to a LED 2 on the side face of the light guide member. The LED 2 is connected to a capacitor (not illustrated) for preventing its

destruction and an adjusting resistance and mounted on a LED substrate 13 and the LED substrate 13 is joined to a side face 12c opposed to the through-hole 8 or the blind hole in the light guide member

5

For cited reference JP 8-56034:

Title:

10 SEMICONDUCTOR LIGHT EMITTING ELEMENT DRIVE CIRCUIT

Abstract:

PURPOSE: To obtain a current pulse waveform free of overshoot and ringing, and prevent generation of parasitic inductance.

CONSTITUTION: A semiconductor light emitting element drive circuit for driving a light emitting element 4 is provided with the following a bipolar transistor 1 which drives the light emitting element 4 by applying a control signal for driving the light emitting element 4 to the base, and making a current flow across the emitter and the collector in response with the control signal, and an insulated gate type transistor 3 which acts as a constant current supply connected with the bipolar transistor 1.

25

It is respectfully requested that the examiner can consider the documents listed on the accompanying form PTO/SB/08 and that it be made of record in the application. The applicants 30 sincerely hope that the examiner initials the cited references on the form and that a copy of the initialed form be sent to the applicants with the next communication from the examiner.

Respectfully submitted,

Winston Hsu

Date: November 3, 2005

Winston Hsu, Patent Agent No. 41,526

5 P.O. BOX 506, Merrifield, VA 22116, U.S.A.

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15